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JC997 U.S. PTO

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# ADAMS & WILKS

ATTORNEYS AND COUNSELORS AT LAW

50 BROADWAY

31st FLOOR

NEW YORK, NEW YORK 10004

BRUCE L. ADAMS  
VAN C. WILKS

RIGGS T. STEWART  
(1924-1993)

JOHN R. BENEFIEL  
PAUL R. HOFFMAN  
TAKESHI NISHIDA  
FRANCO S. DE LIGUORI

**BY EXPRESS MAIL ON**  
June 1, 2001  
(EK 825 217 138 US)

TELEPHONE  
(212) 809-3700

FACSIMILE  
(212) 809-3704

\*NOT ADMITTED IN NEW YORK  
°REGISTERED PATENT AGENT

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09/872800  
06/02/01

Box PATENT APPLICATION  
ASSISTANT COMMISSIONER FOR PATENTS  
Washington, DC 20231

## RECORD OF TRANSMITTAL

INVENTORS: (1) Takashi NIWA (5) Nobuyuki KASAMA  
(2) Kenji KATO (6) Susumu ICHIHARA  
(3) Yasuyuki MITSUOKA (7) Hidetaka MAEDA  
(4) Manabu OUMI (8) Yoko SHINOHARA

TITLE: METHOD FOR FORMING APERTURE NEAR FIELD OPTICAL HEAD AND  
METHOD FOR FABRICATING THE SAME AND INFORMATION  
RECORDING/READING APPARATUS

DOCKET NO: S004-4309

S I R:

Kindly find enclosed herewith for filing the documents  
checked below. Any fees or charges not covered by the  
accompanying check should be charged to our Deposit Account  
No. 01-0268.

### APPLICABLE ITEMS CHECKED:

XX PATENT APPLICATION (pages 1-56 of specification, 20  
claims (pages) 53-56 and abstract of the  
disclosure, (page) 57).

DESIGN APPLICATION (specification, claim, declaration and  
power of attorney and photograph(s))

XX FORMAL DRAWINGS (20 sheets) (NI A4)

INFORMAL DRAWINGS ( sheets)

RECORDATION FORM COVER SHEET and ASSIGNMENT  
(to be recorded and returned to the undersigned)

XX PRIORITY CLAIM - applicant(s) claim the benefit of  
priority of the following application(s):

Japanese Patent Appln. No. 2000-173852 filed June 9, 2000  
Japanese Patent Appln. No. 2000-371828 filed December 6, 2000  
Japanese Patent Appln. No. 2000-379266 filed December 13, 2000  
Japanese Patent Appln. No. 2001-126415 filed April 24, 2001

XX PRIORITY DOCUMENT(s)

       Enclosed XX Not Enclosed

       VERIFIED STATEMENT TO ESTABLISH SMALL ENTITY STATUS

XX EXPRESS MAIL CERTIFICATION

       OTHER -

XX FEE

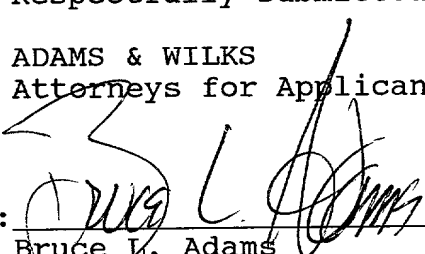
A check is enclosed for the following official fees:

	Large Entity	Small Entity
<u>XX</u> Basic Filing Fee	\$ 710.00	\$
<u>2</u> Independent Claims in Excess of 3	\$ 160.00	\$
<u>0</u> Total Claims in Excess of 20	\$	\$
<u>      </u> Multiple Claim Fee	\$	\$
<u>      </u> Assignment Recordal Fee	\$	\$
TOTAL	\$ 870.00	\$

Respectfully submitted,

ADAMS & WILKS  
Attorneys for Applicants

50 Broadway  
31st Floor  
New York, NY 10004  
(212) 809-3700

By:   
Bruce L. Adams  
Reg. No. 25,386

Re: New patent application of Takashi NIWA et al.

for METHOD FOR FORMING APERTURE NEAR FIELD OPTICAL HEAD AND  
METHOD FOR FABRICATING THE SAME AND INFORMATION  
RECORDING/READING APPARATUS.

comprising transmittal letter, title, specification (pgs.1-56),  
20 claims (pgs.53-56), abstract of the disclosure (pg.57), 20  
sheets of formal drawings containing thereon Figs. 1-20, express  
mail certification and check in the amount \$870.00

Attorney's Docket No: S004-4309

**EXPRESS MAIL CERTIFICATION UNDER 37 CFR §1.10**

Express Mail Tracking Number: **EK 825 217 138 US**

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PATENTS, Washington, DC 20231.

  
Michael Ruas